

## **LBNL – PROCUREMENT STANDARD PRACTICES**

**Section: 7 Acquisition Planning**

**Subject: 7.1 Acquisition Planning — General**

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<b>PURPOSE:</b>	This standard practice (SP) describes the Laboratory's acquisition planning system.
<b>POLICY:</b>	The Laboratory will perform acquisition planning for appropriate subcontracts in accordance with good business practices and in order to obtain quality products in a timely manner at a reasonable price.
<b>SCOPE:</b>	This SP applies to proposed acquisitions, greater than \$500,000.
<b>OBJECTIVES:</b>	<p>Good acquisition planning involves analyzing requirements and employing technical, business, policy, operational, and other acquisition considerations to develop an acquisition plan that establishes realistic milestones to achieve program goals. Acquisition planning is designed to accomplish the following objectives:</p> <ul style="list-style-type: none"><li>• Employment of effective competitive techniques;</li><li>• Plan and estimate budget and workload;</li><li>• Timely acquisition of goods and services;</li><li>• Identify socioeconomic and competition opportunities;</li><li>• Consideration of government sources of supply;</li><li>• Development of specifications and basis for award; and</li><li>• More favorable pricing through consolidation of requirements.</li></ul>
<b>ELEMENTS OF ACQUISITION PLANNING:</b>	<p>Acquisition planning involves:</p> <ul style="list-style-type: none"><li>• Advance notification to Procurement by Laboratory programmatic and financial personnel of upcoming requirements;</li><li>• Development of a collaborative plan for acquiring required goods or services, considering the essential elements of the subcontract; and</li><li>• Development of a procurement milestone schedule.</li></ul>
<b>DEFINITIONS:</b>	
<b>Advance Acquisition Alert (AAA)</b>	An AAA is a document sent to Procurement announcing that a requisition greater than \$500,000 will be sent to Procurement in 30 days or more.

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**Advance  
Acquisition Plan  
(AAP)**

An AAP is a document containing all of the information necessary to describe major procurements greater than \$500,000. AAPs include the procurement action's background and objectives, and sets forth a detailed plan of action for the procurement (Exhibit 7.1.a, *Advance Acquisition Plan*).

**Advance  
Acquisition  
Advocate**

The Advance Acquisition Advocate is the procurement specialist assigned by Procurement to be its principal interface with the Laboratory's divisions and departments regarding advance acquisition planning.

**AAP Milestone  
Chart**

An AAP Milestone Chart indicates the primary milestones for a major procurement greater than \$500,000, starting with approval of the AAP up to the date of subcontract award (see Exhibit 7.1.b, *Advance Acquisition Plan Milestone Chart*).

### **PROCEDURES:**

**Advance  
Acquisition Alert  
(AAA)**

For procurements greater than \$500,000, the requester must submit an AAA to Procurement's Advance Acquisition Advocate at least 30 days prior to sending the requisition. AAAs should be sent to Procurement as far in advance as is reasonably possible. An overview of the process used at the Laboratory for advanced acquisition planning is provided in Exhibit 7.1.c, *Advance Acquisition Planning Flowchart*.

AAAs must contain the following information:

- Division and/or department preparing the Alert,
- Requester's name,
- Requester's telephone number,
- Estimated dollar value of the procurement,
- Type of procurement requirement,
- Type of subcontract contemplated,
- Whether the transaction will be competitive or non-competitive,
- Estimated date requisition will be sent to Procurement;
- Date needed; and
- Brief description of item(s) or service(s) needed.

The AAA is e-mailed by the requester to Procurement's Advance Acquisition Advocate. The AAA *form* (Exhibit 7.1.d) is in the "Forms" folder on Procurement's home page.

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Procurement's Advance Acquisition Advocate then forwards the AAA to the appropriate procurement supervisor and files a copy of the AAA in a master file maintained by the Advance Acquisition Advocate. The Supervisor assigns the AAA to a procurement specialist as soon as possible after receiving it.

### **Advance Acquisition Plan (AAP) and Milestone Chart**

The procurement specialist assists the requester to complete the AAP and to develop realistic milestones. When required, the procurement specialist will consult other appropriate Laboratory personnel when assisting the requestor in developing the AAP and milestone chart.

When the procurement specialist is satisfied as to the accuracy and completeness of the AAP and its milestone chart so that, when the requisition is received, the procurement can be processed quickly and smoothly, s/he shall sign the AAP. The AAP and its milestone chart define the details of the procurement and are to be used as a guide up until the time the subcontract is awarded.

When the AAP, with its milestone chart, is completed and signed, the procurement specialist shall send a copy to the Advance Acquisition Advocate to be kept in a master AAP file. A copy of the AAP, with its milestone chart, is also required to be kept in the subcontract file.

### **Waivers**

In emergency situations, the normal advance acquisition planning process may be waived at the discretion of the Procurement Manager. In such situations, the subcontract file must contain complete documentation of the exception and how it justifies waiving the advance acquisition planning process.

## **RESPONSIBILITIES:**

### **Advance Acquisition Advocate**

The Advance Acquisition Advocate will:

- Forward AAAs received from requesters to the appropriate procurement supervisor and file a copy in the master file.
- File all signed AAPs and their milestone charts in the master file

### **Procurement Manager**

The Procurement Manager will, when required by emergency situations, waive the advance acquisition planning process.

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**Procurement  
Specialist**

Procurement specialists will:

- Assist requesters, and involve other Laboratory personnel when appropriate, to develop AAPs, and realistic milestone charts for procurements estimated to be greater than \$500,000;
- Sign the AAP when satisfied as to its accuracy and completeness, so that, when the requisition is received, the procurement can be processed quickly and smoothly;
- Ensure that a copy of the completed AAP, and its milestone chart, is sent to the Advance Acquisition Advocate, and that a copy is maintained in the subcontract file; and
- Document the file whenever the normal advance acquisition planning process is waived by the Procurement Manager.

**Procurement  
Supervisor**

Procurement supervisors will assign AAAs to procurement specialists as soon as possible.

**Requester**

Requesters will:

- Submit an AAA to Procurement's Advance Acquisition Advocate at least 30 days prior to submitting a requisition over \$500,000;
- Develop an AAP and its milestone chart with the assistance and concurrence of the procurement specialist;

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**Exhibit: 7.1.a Advance Acquisition Plan**

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**ADVANCE ACQUISITION PLAN FOR**

PROJECT/PROCUREMENT: \_\_\_\_\_

**I. PROCUREMENT BACKGROUND  
AND OBJECTIVES**

A. Description: \_\_\_\_\_

B. Applicable Conditions: \_\_\_\_\_

C. Estimated Cost: \_\_\_\_\_; Basis of Estimate: \_\_\_\_\_

D. Funding Source: ☐ DOE, ☐ Non-DOE-☐ Other: \_\_\_\_\_

E. Performance Period/Delivery Date Required: \_\_\_\_\_

F. Statement of Risk: ☐ Minimal, ☐ High, ☐ Other: \_\_\_\_\_

**II. PLAN OF ACTION**

A. Competition-Describe how competition will be sought: \_\_\_\_\_

B. Sources-List of potential suppliers: \_\_\_\_\_

C. Socioeconomic Participation - Describe the availability of capable small, small  
disadvantaged, and women-owned businesses: \_\_\_\_\_

D. Source Selection Procedures - Attach Justification for Single Source: \_\_\_\_\_

E. Subcontract Type: \_\_\_\_\_

F. Quality Issues: \_\_\_\_\_

G. Acceptance Criteria and Method: \_\_\_\_\_

H. Make or Buy: \_\_\_\_\_

I. Government Property and Other Information: \_\_\_\_\_

J. Environmental, Health, and Safety Concerns - If checked, attach explanation: ☐ Hazardous  
Waste ☐ Nuclear Materials ☐ Other: \_\_\_\_\_

K. Computer-Related Acquisitions: \_\_\_\_\_

L. Security Considerations - Describe if required: \_\_\_\_\_

M.. Other Requirements - Description: \_\_\_\_\_

N. Milestones for the Acquisition Cycle: Attached

**APPROVED: SIGNATURE**

**DATE**

\_\_\_\_\_  
**Requisitioner**

\_\_\_\_\_  
**Procurement Representative**

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**ADVANCE ACQUISITION PLAN MILESTONE CHART**

SUBCONTRACT NO.: \_\_\_\_\_ REQUISITION NO.: \_\_\_\_\_

ITEM: \_\_\_\_\_

ESTIMATED COSTS: \_\_\_\_\_

TYPE CONTRACT: \_\_\_\_\_

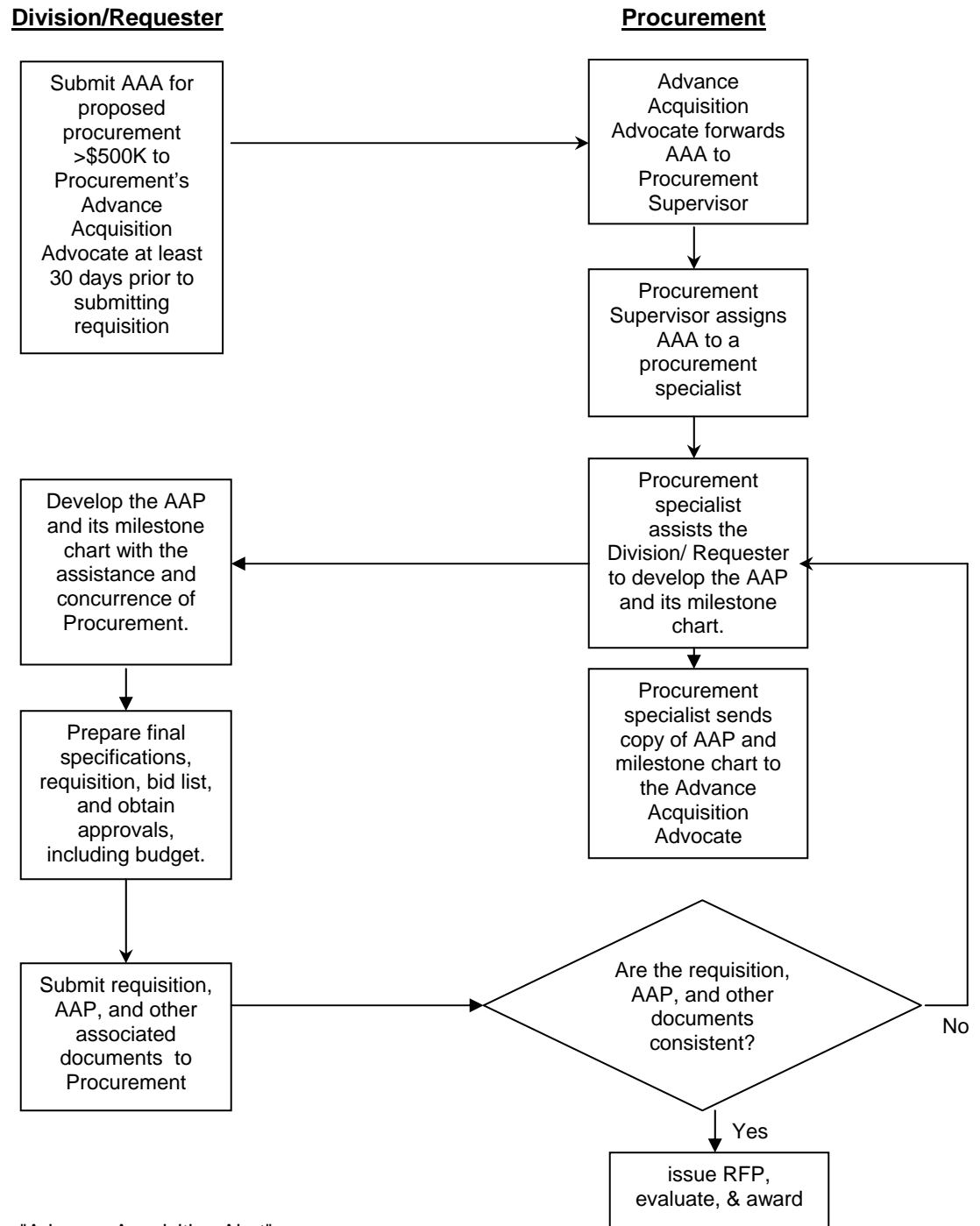
	Estimated Date	Actual Date
1. Advance Acquisition Plan Approval	_____	_____
2. Market Survey (Letter of Inquiry, Commerce Business Daily, or other Public Notice):	_____	_____
3. Market Survey Response Received:	_____	_____
4. Market Survey Evaluated Completed:	_____	_____
5. Specification and Requirements Criteria Completed:	_____	_____
6. Requisition to Purchasing:	_____	_____
7. Request for Quotation (RFQ) or Proposal (RFP)	_____	_____
8. RFQ or RFP Responses Due:	_____	_____
9. Technical Evaluations Complete:	_____	_____
10. Negotiations Complete:	_____	_____
11. DOE/University Approval Requested:	_____	_____
12. DOE/University Approval Received:	_____	_____
13. Contract Award:	_____	_____

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Exhibit: 7.1.c Advance Acquisition Planning Flowchart

## Advance Acquisition Planning Flowchart



AAA = "Advance Acquisition Alert"

AAP = "Advance Acquisition Plan"

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**Advance Acquisition Alert Form**

**Note:** The following Advance Acquisition Alert form is available from the Berkeley lab Procurement Web-site:

Please use this form to tell Procurement of new requisitions you plan to submit which are over \$500,000. This information is required in order to effectively plan for and purchase the items.

1) Fill-in, 2) SaveAs, and 3) email this form to Procurement's *Advance Acquisition Advocate*, Ron Ball (x4513) at [RNBall@lbl.gov](mailto:RNBall@lbl.gov). A representative from Procurement will contact you to discuss your requirement.

Division/Department:	
Requester Last Name:	
Requester First Name:	
Requester Telephone Number:	
Dollar Amount:	\$500K-999K
Requirement (Commodity):	Supplies
Subcontract Type:	Firm Fixed Price
Source Selection Method:	Competitive
Estimated Date of Requisition (MM-DD-YY)	
Date Needed (MM-DD-YY)	
Description:	
Comments:	